

AUDIT REPORT - Strategic Industry Audit/Identified Risk Area

Organisation Details			
Legal Name	Tracmin Pty Ltd	RTO Number	51895
Trading Name	Tracmin		
Size of RTO	-	No of Students	-
Website	www.tracmin.net.au		
Main Address	Unit 6, 80 Atfield Street, MADDINGTON , WA, 6109		
Legally Responsible	Ms Katrina Zuzic	Position	Chief Executive Officer
Email	katrina.zuzic@tracmin.net.au	Phone Number	9452 2266
Registration Contact	Ms Holly Denton	Position	Admin Manager
Email	holly.denton@tracmin.net.au	Phone Number	08 9452 2266
Audit Team			
Lead Auditor	Russell Docking	Contact Details	Mobile No: 0418 812 736 Email: docking2@bigpond.com
Registering Body Details			
Case Manager	Karen Scale	Contact Details	Telephone No: 9441 1927 Email: Karen.Scale@des.wa.gov.au

SUMMARY OF AUDIT OUTCOMES			
Audit Method	External Desk Top Audit	Audit Type	Strategic Industry Audit/Identified Risk Area
Date of Audit	13/09/2017	Date Report Submitted	13/09/2017
<input type="checkbox"/> Compliant with the Standards for Registered Training Organisations 2015. <input checked="" type="checkbox"/> Not Compliant with the Standards for Registered Training Organisations 2015.			

Organisation Overview
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AUDIT REPORT

ORGANISATION REPORT		
Standard 2 - The operations of the RTO are quality assured		
Compliant <input type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not-Audited <input checked="" type="checkbox"/>
Overall Comment Against Standard		
Standard 3 - The RTO issues, maintains and accepts AQF certification documentation in accordance with these Standards and provides access to learner records.		
Compliant <input type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not-Audited <input checked="" type="checkbox"/>
Overall Comment Against Standard		
Standard 4 - Accurate and accessible information about an RTO, its services and performance is available to inform		

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prospective and current learners and clients.		
Compliant <input checked="" type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not-Audited <input type="checkbox"/>
Overall Comment Against Standard		
TRACMIN is compliant with Standard 4.		
Element 4.1 - Information, whether disseminated directly by the RTO or on its behalf, is both accurate and factual, and:		
Compliant <input checked="" type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not Audited <input type="checkbox"/>
Evidence	http://tracmin.com.au/wp-content/uploads/2017/08/R1130815_FINAL_02082017.pdf http://tracmin.com.au/rii20513-certificate-iii-in-civil-construction-plant-operations/ Third Party Services Student Information Guide Statement of Fees and Course Overview Advertising and Marketing Policy and Procedure	
Findings	The RTO was compliant with Standard 4.	
Element 4.1a - accurately represents the services it provides and the training products on its scope of registration;		
Compliant <input checked="" type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not Audited <input type="checkbox"/>
Element 4.1b - includes its RTO Code;		
Compliant <input checked="" type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not Audited <input type="checkbox"/>
Element 4.1c - refers to another person or organisation in its marketing material only if the consent of that person or organisation has been obtained;		
Compliant <input checked="" type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not Audited <input type="checkbox"/>
Element 4.1d - uses the NRT Logo only in accordance with the conditions of use specified in Schedule 4		
Compliant <input checked="" type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not Audited <input type="checkbox"/>
Element 4.1e - makes clear where a third party is recruiting prospective learners for the RTO on its behalf;		
Compliant <input type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not Audited <input checked="" type="checkbox"/>
Element 4.1f - distinguishes where it is delivering training and assessment on behalf of another RTO or where training and assessment is being delivered on its behalf by a third party;		
Compliant <input type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not Audited <input checked="" type="checkbox"/>
Element 4.1g - distinguishes between nationally recognised training and assessment leading to the issuance of AQF certification documentation from any other training or assessment delivered by the RTO;		
Compliant <input type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not Audited <input checked="" type="checkbox"/>
Element 4.1h - includes the code and title of any training product, as published on the National Register, referred to in that information;		
Compliant <input checked="" type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not Audited <input type="checkbox"/>
Element 4.1i - only advertises or markets a non-current training product while it remains on the RTO's scope of registration;		
Compliant <input type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not Audited <input checked="" type="checkbox"/>
Element 4.1j - only advertises or markets that a training product it delivers will enable learners to obtain a licensed or regulated outcome where this has been confirmed by the industry regulator in the jurisdiction in which it is being advertised;		
Compliant <input type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not Audited <input checked="" type="checkbox"/>
Element 4.1k - includes details about any VET FEE-HELP, government funded subsidy or other financial support arrangements associated with the RTO's provision of training and assessment; and		
Compliant <input type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not Audited <input checked="" type="checkbox"/>
Element 4.1l - does not guarantee that:		

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Compliant <input checked="" type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not Audited <input type="checkbox"/>
Element 4.1I i - a learner will successfully complete a training product on its scope of registration; or		
Compliant <input checked="" type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not Audited <input type="checkbox"/>
Element 4.1I ii - a training product can be completed in a manner which does not meet the requirements of Clause 1.1 and 1.2; or		
Compliant <input checked="" type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not Audited <input type="checkbox"/>
Element 4.1I iii - a learner will obtain a particular employment outcome where this is outside the control of the RTO.		
Compliant <input checked="" type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not Audited <input type="checkbox"/>
Standard 5 - Each learner is properly informed and protected.		
Compliant <input checked="" type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not Audited <input type="checkbox"/>
Overall Comment Against Standard		
TRACMIN is compliant with Standard 5.		
Element 5.2 - Prior to enrolment or the commencement of training and assessment, whichever comes first, the RTO provides, in print or through referral to an electronic copy, current and accurate information that enables the learner to make informed decisions about undertaking training with the RTO and at a minimum includes the following content:		
Compliant <input checked="" type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not Audited <input type="checkbox"/>
Evidence	http://tracmin.com.au/wp-content/uploads/2017/08/RII30815_FINAL_02082017.pdf http://tracmin.com.au/rii20513-certificate-iii-in-civil-construction-plant-operations/ Third Party Services Student Information Guide Statement of Fees and Course Overview RII30815 Brochure RII30815 Confirmation Letter	
Findings	The RTO was compliant with Standard 5.2.	
Element 5.2a - the code, title and currency of the training product to which the learner is to be enrolled, as published on the National Register;		
Compliant <input checked="" type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not Audited <input type="checkbox"/>
Element 5.2b i - estimated duration;		
Compliant <input checked="" type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not Audited <input type="checkbox"/>
Element 5.2b ii - expected locations at which it will be provided;		
Compliant <input checked="" type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not Audited <input type="checkbox"/>
Element 5.2b iii - expected modes of delivery;		
Compliant <input checked="" type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not Audited <input type="checkbox"/>
Element 5.2b iv - name and contact details of any third party that will provide training and/or assessment, and related educational and support services to the learner on the RTO's behalf; and		
Compliant <input type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not Audited <input checked="" type="checkbox"/>
Element 5.2b v - any work placement arrangements.		
Compliant <input type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not Audited <input checked="" type="checkbox"/>
Element 5.2c - the RTO's obligations to the learner, including that the RTO is responsible for the quality of the training and assessment in compliance with these Standards, and for the issuance of the AQF certification documentation.		
Compliant <input checked="" type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not Audited <input type="checkbox"/>
Element 5.2d i - details of the RTO's complaints and appeals process required by Standard 6; and		
Compliant <input checked="" type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not Audited <input type="checkbox"/>

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Element 5.2d ii - if the RTO, or a third party delivering training and assessment on its behalf, closes or ceases to deliver any part of the training product that the learner is enrolled in;		
Compliant <input checked="" type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not Audited <input type="checkbox"/>
Element 5.2e i - in relation to the repayment of any debt to be incurred under the VET FEE-HELP scheme arising from the provision of services;		
Compliant <input type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not Audited <input checked="" type="checkbox"/>
Element 5.2e ii - any requirements the RTO requires the learner to meet to enter and successfully complete their chosen training product; and		
Compliant <input checked="" type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not Audited <input type="checkbox"/>
Element 5.2e iii - any materials and equipment that the learner must provide; and		
Compliant <input checked="" type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not Audited <input type="checkbox"/>
Element 5.2f - information on the implications for the learner of government training entitlements and subsidy arrangements in relation to the delivery of the services.		
Compliant <input type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not Audited <input checked="" type="checkbox"/>
Element 5.3 - Where the RTO collects fees from the individual learner, either directly or through a third party, the RTO provides or directs the learner to information prior to enrolment or the commencement of training and assessment, whichever comes first, specifying:		
Compliant <input checked="" type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not Audited <input type="checkbox"/>
Evidence	Student Information Guide Statement of Fees and Course Overview R1130815 Brochure R1130815 Confirmation Letter	
Findings	The RTO was compliant with Standard 5.3.	
Element 5.3a i - fees that must be paid to the RTO; and		
Compliant <input checked="" type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not Audited <input type="checkbox"/>
Element 5.3a ii - payment terms and conditions including deposits and refunds;		
Compliant <input checked="" type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not Audited <input type="checkbox"/>
Element 5.3b - the learner's rights as a consumer, including but not limited to any statutory cooling-off period, if one applies;		
Compliant <input checked="" type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not Audited <input type="checkbox"/>
Element 5.3c i - arrangement is terminated early; or		
Compliant <input checked="" type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not Audited <input type="checkbox"/>
Element 5.3c ii - the RTO fails to provide the agreed services.		
Compliant <input checked="" type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not Audited <input type="checkbox"/>
Standard 6 - Complaints and appeals are recorded, acknowledged and dealt with fairly, efficiently and effectively.		
Compliant <input type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not-Audited <input checked="" type="checkbox"/>
Overall Comment Against Standard		
Standard 7 - The RTO has effective governance and administration arrangements in place.		
Compliant <input type="checkbox"/>	Non-Compliant <input checked="" type="checkbox"/>	Not-Audited <input type="checkbox"/>
Overall Comment Against Standard		
TRACMIN is not compliant with Standard 7.		
Element 7.1 - The RTO ensures that its executive officers or high managerial agent:		
Compliant <input checked="" type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not Audited <input type="checkbox"/>

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Evidence	Duty Statement TRACMIN Governance Policy Org Chart
Findings	The RTO was compliant with Standard 7.1
Element 7.1a - are vested with sufficient authority to ensure the RTO complies with the RTO Standards at all times; and	
Compliant <input checked="" type="checkbox"/>	Non-Compliant <input type="checkbox"/> Not Audited <input type="checkbox"/>
Element 7.1b - meet each of the relevant criteria specified in the Fit and Proper Person Requirements in Schedule 3	
Compliant <input checked="" type="checkbox"/>	Non-Compliant <input type="checkbox"/> Not Audited <input type="checkbox"/>
Element 7.3 - Where the RTO requires, either directly or through a third party, a prospective or current learner to prepay fees in excess of a total of \$1500 (being the threshold prepaid fee amount), the RTO must meet the requirements set out in the Requirements for Fee Protection in Schedule 6.	
Compliant <input type="checkbox"/>	Non-Compliant <input checked="" type="checkbox"/> Not Audited <input type="checkbox"/>
Evidence	The RTO provided a range of evidence relating to fees, including fees and charges of up to \$3006.08, policies and procedures, student information guide and hardship form. In the Student Information Guide section 3.1.2 "fees and Charges" it advises students that they "may have to pay when you enrol". It also discusses the protection of fees in advance but gives no indication of how this is achieved. There is no reference to a limit of \$1500.
Findings	The RTO is not compliant with this Clause. The RTO has not provided evidence that demonstrates that it has a valid process to meet the requirements set out in the Requirements for Fee Protection in Schedule 6 when fees beyond \$1500 are taken in advance. Rectification: The RTO is required to demonstrate how it informs learners of any limits to pre-payment of fees, or how it meets the requirements set out in the Requirements for Fee Protection in Schedule 6.
Standard 8 - The RTO cooperates with the VET Regulator and is legally compliant at all times.	
Compliant <input type="checkbox"/>	Non-Compliant <input type="checkbox"/> Not-Audited <input checked="" type="checkbox"/>
Overall Comment Against Standard	

OVERALL LEVEL OF COMPLIANCE - INITIAL AUDIT

In line with the *National Guideline for Managing Non-Compliance*, the outcome of this audit has indicated that the RTO's overall level compliance is: **Minor non-compliance**

The requirements of the *Standards for Registered Training Organisations 2015* have not been met based on the evidence reviewed but there is no or minor adverse impact on learners and/or other consumers of goods and services produced in the training environment or the current (or future) workplace.

CHANGE OF SCOPE

Has the RTO's Scope changed as a result of this audit	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
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